

Name of Broker-Regulated Company
As of December 31, 20__

CHECKLIST OF DOCUMENTARY REQUIREMENTS

PARTICULARS

- _____ 1. Certification (**Form A**)
- _____ 2. Audited Financial Statements, signed and stamped “Received” by the Bureau of Internal Revenue (BIR) and the Securities and Exchange Commission (SEC)
(attach email notification if submitted electronically)
- _____ 3. Financial Information Form (**Form C**), signed by the Finance Head
(sign the PDF copy of the Form’s Profile tab only)
- _____ 4. Latest General Information Sheet filed with the SEC
- _____ 5. Copies of Latest Surety Bond and Errors and Omissions Policies
- _____ 6. Certificate of Authority/License
- _____ 7. Minutes of the Board of Directors and Stockholders’ Meetings or Annual Report, *if any*
- _____ 8. External Auditor’s Letter of Comments or Recommendations, *if any*
- _____ 9. Amendment/s to the Articles of Incorporation and/or By-laws, *if any*

Via IC Portal	
PDF	EXCEL
X	
X	
X	X
X	
X	
X	
X	
X	

Note: The list above is not exhaustive and the IC may request additional schedule/documents during the examination.

Prepared by: _____

Signature over Printed Name and Designation

Received by: _____

Date Received: _____

INSTRUCTIONS

Fill-out/Complete the following information on the following tabs:

a. Profile

- Company Name – select using the dropdown function
- Broker Type – select using the dropdown function
- License Number and its Expiry Date
- Company Head – can be a President/Chief Executive Office or General Manager
- Finance Head – can be the Chief Financial Officer, Finance Manager or the authorized representative of the Company who will sign on the pdf copy of Profile tab in Form C.
- External Auditor Information
- Number of Officers and Employees
- Certification Section – it attests that the Finance Head prepared all the information provided and all the documents submitted are true and accurate. Signoff can be made in the pdf copy only of the Profile tab

b. Prudential Requirements

Indicate the Transaction Type using the dropdown function. All other fields (i.e., Net Worth and Fiduciary Ratio requirements) are automatically computed based on the amounts encoded in the Audited Trial Balances.

c. Bonds and Policies

Indicate the issuer, coverage period and the amount of surety bonds and errors & omissions policies.

d. Statement of Business Operations – Insurance Broker – summary of Company's premium and commission production related to insurance and HMO business

e. Statement of Business Operations – Reinsurance Broker - summary of Company's premium and commission production related to reinsurance and HMO business

f. Statement of Business Operations – Reconciliation – presents the differences between the balances in SBO and Audited Trial Balance templates

g. Audited Trial Balance – Statement of Comprehensive Income – summary of nominal accounts per CL No. 2021-69.

h. Audited Trial Balance – Statement of Financial Position - summary of real accounts per CL No. 2021-69.

i. Compliance and Governance – provides supplemental information on the Company's business structure (i.e., broker's license, significant changes in the Company's production, and information on the parent company, if any)